**Department of Energy**
Office of Science
Washington, DC 20585

**Office of the Director**

JUN 0 2 2004

MEMORANDUM FOR DISTRIBUTION

FROM: MILTON D. JOHNSON MDJ
CHIEF OPERATING OFFICER

SUBJECT: Office of Science Guidance for Development and Submission of the Ten Year Site Plan required under the Real Property Asset Management (RPAM) order, DOE 0 430.1B.

As part of SC's commitment to the new Real Property Asset Management (RPAM) order, DOE 0 430.1B, the Final SC guidance for preparation and submission of the Ten Year Site Plans (TYSPs) is attached for your use. I understand that your input on our draft guidance was instrumental in finalizing this guidance and we appreciate your efforts. We believe this guidance will assist you in developing a TYSP which will be beneficial to all of the stakeholders. We realize that producing a quality TYSP will require a significant level of effort and believe that it will be a valuable tool in managing your facilities. It will also provide solid information, including long term planning, to support the laboratories' infrastructure funding requests. We look forward to receiving your TYSP by November 1, 2004.

If you have any questions, please contact Barry Sullivan at 301-903-8438 or at barry.sullivan@science.doe.gov.

Attachment

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# SC Guidance for Preparing Ten Year Site Plans

**Purpose:** Provide the Office of Science (SC) guidance for the development, preparation, submission and approval of Ten Year Site Plans (TYSPs).

**Requirement:** The Real Property Asset Management (RPAM) Order, DOE 0 430.1B, issued September 24, 2003, requires each site to annually submit a TYSP. The TYSP is a single, comprehensive plan addressing how the site's real property assets will support the Department's strategic plan, the Secretary's five-year planning guidance, and annual program direction and guidance. See http://www.science.doe.gov/ for SC's Strategic Plan and report on the "Facilities for the Future of Science." It supports development of the Integrated Facilities and Infrastructure (IFI) crosscut budget and the annual budget submission. It integrates functional components of land use, facilities and infrastructure acquisition, maintenance, recapitalization, safety and security and disposition plans into a comprehensive site-wide management plan. It requires assessment of past performance and projected futures outcomes; and strengthens communication and accountability between programs, sites and tenants.

**Due Date**: November 1st, 2004

**Years Covered:** The TYSP will cover the FY 2006 through FY 2015 time period. In addition, data for FY 2004 and 2005 will be included.

**Scope:** The TYSP will cover all DOE facilities at a site regardless of ownership. The following SC sites are to submit plans: ANL, BNL, LBNL, ORNL, PNNL, Ames, Fermi, SLAC, PPPL, TJNAF and Oak Ridge Reservation.

ORISE and Notre Dame should submit a mini-TYSP suited to the size and nature of the site. Please discuss this with the Office of Science, Laboratory Infrastructure Division, SC-82.

**Format for Submission:** The TYSP's should be submitted in both written and electronic form (Acrobat readable or Microsoft Word and Excel spreadsheets). The TYSP should provide, at a minimum, the specific content items requested in the sections below although it may be organized as appropriate for the site. Other material can be provided as deemed appropriate by the laboratory. The TYSP should be formatted for 8 ½" x 11" paper, portrait layout (Note: Tables may be presented in landscape if necessary). We expect the TYSP to be an easily readable, stand alone document.

**Review and Approval:** The TYSP should be submitted by the Site Manager to Leah Dever, SC-80. SC-82 will coordinate the SC HQ's review and forward it to SC-1 for approval. Site Managers should obtain concurrence from the local EM and other non-SC program staff on the TYSP prior to its submission.

**Contacts:** John Yates, SC-82 (301-903-8435; e-mail: john.yates@science.doe.gov) for more information, or Barry Sullivan, SC-82 (301-903-8438; e-mail: barry.sullivan@science.doe.gov)

SC-82 has established a website for the RPAM and TYSP guidance and information. The URL is: http://www.sc.doe.gov/sc-80/scr-82/rpam.html.

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## Content of the TYSP

The following areas should be covered in the TYSP:

### I. Site Summary

This section will include a physical description of the site to include, but not limited to: Short site history, location, acreage, number of facilities, square footage, total operating budget, total site population, total Replacement Plant Value (RPV) of all the facilities and infrastructure, lab contractor, and any other pertinent information which helps the reader become familiar with the site. The TYSP should include the summary for SC facilities shown in Appendix 1. List non-SC facilities and their responsible programs. Include an aerial picture of the site. Include charts on Laboratory Space Distribution – broken out by the GSA Use Codes i.e. Admin 0-199, Support 200-299, Housing 300-399, etc., and age profiles.

### II. Mission

Identify current and likely future missions based on HQ's annual planning guidance – overall and by program area, and summarize them briefly in this section and their effect on the site's Facilities & Infrastructure (F&I). Identify major trends and staffing and user levels over the planning period. Additional information that relates facilities to mission is requested below in section "Facilities Supporting Mission Activities."

**III. Land Use Plans:** Identify the latest plan, approval date, and schedule for update. See DOE P 430.1, *Land and Facility Planning,* dated 7-9-96 for details. Discuss any planning issues. Future updates to the plans are to be submitted to SC-82, which will coordinate HQ's review and approval by SC-1. The TYSP must be consistent with the approved Land Use Plan.

You are encouraged to roll your Land Use Plan and Master Site Plan (if you have one) into the TYSP to save time and effort and speed the approval process.

### IV. Facilities and Infrastructure

The section will focus on existing facilities and infrastructure, and those needed to support the current and planned future research activities. It will provide a brief general characterization of the site and the facilities of the Laboratory, including the acreage of the site, square footage of the facilities, number of buildings, condition, and utilization of the capital assets. Please provide site map(s) that shows all buildings and utility systems.

**Note: Depending on how the site is managed, non-SC facilities may be included in the discussions below, or may be discussed in separate sections for each non-SC owner**. An owner is a PSO that budgets for the maintenance and recapitalization of its facilities and is shown as the owner in FIMS. All non-SC assets are to have the appropriate program entered into

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the "HQ's Program Office" in FIMS. Non-SC programs that simply pay space charges in SC buildings are not owners.

The following areas should be covered:

Strategic F&I Goals and Issues: Identify the goals that drive F&I management at the site. Provide a short overview of the key F&I issues in meeting these goals in terms of its effect on mission accomplishment, stewardship of Federal facilities, ES&H, etc. Identify cross-program issues (e.g., between EM and SC that need resolution in the upcoming year). Identify performance trends that are a concern (see discussion of Performance Indicators and Measures below). Identify any assumptions on which the plan is based.

Condition Assessment Process: Describe the condition assessment process, including: who performs it, time cycle of surveys, etc. and any plans for changing the process in the next year.

Condition Overview: Describe the condition of the facilities, utilities and other structures and facilities (OSFs) using the Asset Condition Index (ACI). Discuss Rehab and Improvement Costs. This section should be organized by overall site and buildings and then utility systems.

Facilities Management, Space Management & Utilization: Describe how facilities management responsibilities are distributed at the highest level of the lab (e.g., directorate, division, or departmental level). For example, are all facilities managed centrally or distributed? If distributed, then what is the oversight process? Describe the space charge and what is included, and the trend in the space charge. Laboratories sharing sites with other installations should identify their responsibilities with regard to the site and its operating expense. Discuss how space is managed at the site and the Asset Utilization Index (AUI) and any other issues.

Facilities Supporting Mission Activities: (Note: This level of detail is needed to link real property to DOE program missions as required by the RPAM Order.) For each Lab Directorate level at a laboratory that has responsibility to fund, operate and manage individual facilities (buildings and utilities as appropriate) to accomplish its mission activities, identify:

- the Directorate's mission (reference to DOE missions), *(note: directorate may be termed a "division" or "department" or similar terminology at other labs; the Directorate that manages and operates the non-program or multiprogram facilties is to be included)*
- expected funding future (consistent with appropriate Departmental and program guidance)
- facilities assigned (at a minimum, include a list but suggest RPV, age, deferred maintenance, etc. also be included)
- overall facility condition and deferred maintenance
- facility issues
- facility utilization
- planned maintenance and recapitalization investments including planning for line item construction projects, General Plant Project (GPP), Accelerator Improvement Project, and Major Item of Equipment of $5M or more as may be applicable.

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You may want to organize the main body of the TYSP around this "Directorate" structure incorporating many of the other requirements into it.

Site utility systems: should be individually discussed in terms of size, condition, deferred maintenance, deferred maintenance reduction plans and maintenance and recapitalization investment plans.

Leasing: Provide leasing plans for the upcoming year. Provide brief justification for any planned leases of more than 10,000 sf. Also, list all current leases including the following information for each facility: use (warehouse, office, laboratory, etc.); approximate number of employees in the facility; and future plan for facility (i.e. site plans to continue to use indefinitely, will replace with facility on-site when funds available, etc.).

Land Management: Identify any land issues (see section on Land Use Plan).

Disposition: Disposition is initiated when real property assets are identified as no longer required for current or future programs and have been formally excessed. Disposition includes stabilizing, preparing for reuse, deactivating, decommissioning, decontaminating, dismantling, demolishing, and/or disposing of real property assets.

Report any real property identified as not utilized and not needed to support program missions. List excess facilities, separating those that are "contaminated" from those that are "non-contaminated" and indicate which are "not operating" versus "operating." For non-operating, indicate the year it went into this status. For operating excess, indicate the year it should go into non-operating status and what the change is dependent on.

Long Term Stewardship: Once the facility is excess and non-operating, long term stewardship activities (e.g., surveillance, maintenance, institutional controls should be put in place. List all Long Term Stewardship (LTS) activities and describe as needed e.g., S&M of landfill cover, current funding and funding program including internal/overhead).

Future Liabilities Program: A new program has been proposed to Congress in the FY 2005 budget "*to address any future environmental liabilities that are not included in EM's current baselines."* Assuming the program is supported by Congress, an Office of Future Liabilities will be established to fund needs related to future liabilities. For the purposes of development of a budget, future liabilities include the following:

- Decontamination and decommissioning of excess contaminated facilities not being addressed by the Office of Environmental Management (EM) (this does not overlap the SLI Excess Facilities Disposition subprogram which is currently focused on non-contaminated or slightly contaminated facilities.)
- Clean up and management of contaminated soil and groundwater;
- Disposition of excess nuclear and hazardous materials;
- Long-term stewardship for managing remedies put in place by EM and any new LTS requirements due to SC-developed remedies; and

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- External environmental requirements resulting from transfer of responsibilities and commitments from EM.

Please update your prioritized list that was provided to SC in May 2004 of Future Liability needs. **Additional guidance will be provided later this summer.**

SC Programmatic Activities: Discuss under section "Facilities Supporting Mission Activities"

EM Facilities: Identify the facilities currently managed by EM (including excess that are scheduled for D&D) and the planning process for these facilities. Identify EM's schedule for completing their activities and disposition of their facilities.

Non-SC Facilities (excluding EM facilities): Identify the facilities where the FIMS designated "Hqs Program" differs from SC as landlord (excluding the EM facilities – these are discussed separately per the above section). An example is the New Brunswick Lab (NBL) at ANL; ANL is an SC site and the NBL is an SO site). Please describe how the understanding of responsibilities for maintenance and recapitalization funding are documented (e.g., a MOU) and, if there are un-resolved issues. Also, provide a one page summary of facility needs and issues for each.

Value Engineering: Describe how value engineering is being implemented i.e., is process totally internal or are external consultants utilized?

Mission Essential Facilities: Discuss how the site identifies mission essential facilities and how this information is used in allocating resources. Provide a definition, supporting rationale and list of facilities considered mission essential.

Five-year Sustainment Requirements: RPAM requires that five year sustainment requirements are developed and maintained based on projections of serviceability, economic life, condition assessments, safety, environmental protection, worker and public health, safeguards and security, the mission of facilities and projected funding for deferred maintenance (DM) reduction. The graded approach states that the depth of the detail required and the magnitude of the resources expended for maintenance of a particular asset should be commensurate with the asset's relative importance to these attributes. Please describe how five-year sustainment requirements are determined for the F&I at the site, taking into account the need to provide good stewardship of Federal facilities and SC's goal of providing world-class facilities. These should be summarized for the site and compared with the maintenance plan in the five-year Integrated Facilities and Infrastructure (IFI) Crosscut and the TYSP Resource section below. Sustainment requirements are required for all facilities except those under Other Structures and Facilities (OSF) Category 3000 (i.e., programmatic facilities). However, providing sustainment requirements for OSF Category 3000 facilities is encouraged and should be broken down by specific facilities so they can be useful to the responsible research programs.

Maintenance Program for Nuclear Facilities: Identify all facilities that fall under the DOE Order 433.1, Maintenance Program for Nuclear Facilities (name, identifier, responsible program) and how maintenance requirements for these facilities are determined and communicated to the

responsible programs. Provide metrics used to measure nuclear maintenance program performance. Describe how the nuclear maintenance program is linked to the conventional maintenance management system.

Management of Deferred Maintenance: Describe how DM is managed, separately from normal sustainment and recapitalization. Since all DM is not equal a Mission Risk Prioritization Matrix (MRPM) should be employed that considers 1) the potential for DM actions to reduce the likelihood and severity of mission interruptions and 2) the importance of facility activities to site mission objectives. Please describe the MRPM used. For an example of a MRPM, please contact SC-82. Since sustainment and recapitalization can reduce DM, describe how the normal sustainment and recapitalization are linked to the DM databases so that DM is kept current. Identify the historical trend and the projected DM amounts and associated Facility Condition Index (FCIs) over the FY 02 to FY 08 period based on resource assumptions given in the Summary of Resource Needs section below. DM requirements are requested for all facilities including those under OSF Category 3000 (i.e., programmatic facilities). SC will notify you if this guidance is changed in the FY 04 DM guidance from the Controller. Identify all operating facilities that have an ACI of "poor" or "fail" and plans to get them to "adequate."

Performance Indicators and Measures: Identify the contract performance measures that are being used in FY 04 and those planned for FY 05 for facilities management. Do not include any related to project management. A performance measure for maintenance investment is encouraged where SC goals have not been reached. A maintenance investment measure should reflect the 2 percent goal or any alternative level agreed to by SC-1 in his 2004 On-Site visits. Identify any other measures or indicators the site office will be using in addition to those in the contract for monitoring facilties condition and management.

Process for Development of the Plan: Include a description of the process for preparing the Plan - see Appendix 3.

FIMS: It is important to maintain the FIMS corporate database as complete and current. Please identify any issues re the population and quality assurance of FIMS data and plans to correct them. The SC new fields in 2003, Rehab and Improvement Cost (RIC) and Modernization Planning Indicator (MPI), should be updated to reflect the modernization projects planned in the TYSP submission. The Conventional Facility Indicator (CFI) field will only be used for identifying the percentage of the RPV for a category 3000 asset that is "conventional". A review of the OSF 3000 facilities is underway to ensure that all assets under the OSF 3000 category meet the criteria for inclusion in those categories. It is expected that very few assets will require the use of the CFI. Your careful review of this category of assets is requested.

We also need to be able to document reasons for major changes (5% or more) in RPV from one year to the next. Please provide a comparison of how RPV changed from FY 03 to FY 04 using the same dates as those used for the annual deferred maintenance snapshots. Explanation of changes may be due to:

- additions (new facilities)
- deletions (facilities transferred or demolished)

- changes due to use of new FIMS models
- changes due to change in Site Factor
- changes due to update of values in FIMS models or models that the contractor uses
- changes in OSF category 3000

Note: all these are not necessarily applicable to all sites.

Also describe the major changes (5% or more) **between** the following categories:

- buildings
- trailers
- OSF category 3000
- remainder of OSF (i.e., non-category 3000).
-

For example, "While the site RPV has increased 2 percent, the building RPV decreased 20 percent because the XYZ Building was re-classified as an OSF Category 3000 facility. The latter increased by 40 percent."

This information could be made an Appendix to the TYSP.

Please coordinate significant RPV changes (5% or more) with SC-82 during the course of the year and continue to coordinate Site Factor changes with Max Rosenquist in CH.

## V. Summary of Resource Needs

The results of the planning and analysis process should be summarized in this section, which is essentially a ten-year version of the IFI crosscut, except that the second five years should reflect the additional projects needed to modernize the laboratory. This information will be used to update the SC report summarizing SC infrastructure modernization needs as well as supporting planning and budgeting.

Planning Assumptions - FY 06 to FY 10: Unless specifically directed by the Landlord, or other HQ's program, assume level operating budgets, GPP and SLI construction and SLI Excess Facilities Disposition funding over the planning period.

With respect to maintenance, the SC goal for each site is an overall 2 percent of conventional facilities RPV (i.e., excludes OSF category 3000 facilities) by FY 05 unless otherwise extended to a future year by SC-1. Percentages less than 2 percent must be based on analysis for each asset that takes into account serviceability, economic life, condition, deferred maintenance, safety, environmental protection, worker and public health, safeguards and security, mission of the facilities, the graded approach, good stewardship of Federal facilities and the SC goal of providing world class facilities.

Planning Assumptions - FY 11 to FY 15: Include sustainment and recapitalization needs to modernize the laboratory, including D&D of excess facilities (see Appendix 2 for discussion of modernization).

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Format for Resource Table: Use the IFI Crosscut format per Controller guidance for the FY 06 Field Budget Call except cover the years FY 06 to FY 15. The Excel file with the IFI Crosscut format is available on the Controller website at:
http://www.cfo.doe.gov/budget/guidance/fy2006/index.htm

Line Item Construction Projects: Provide a short, one-paragraph description and summary justification of each project identified in the TYSP. List projects in priority order and identify the process used for prioritizing them. Projects that are proposed based on replacing existing space should identify the offsetting buildings and space to be removed. The cost of these removals and re-location of staff should be included in the new building total estimated cost. Projects that add new space and do not specifically replace existing space should have 'offsetting space to be removed' identified in the site space bank. If in doubt, discuss this with the landlord program and SC-82.

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Appendix 1 Summary Overview of SC Facilities at (Site)

(Prepare separately for each PSO that owns facilities)

Do you want to include any cost data for LTS or Future Liabilities? What about include sf of area requiring LTS ?

| | |
|---|---|
| Total Building Space (gross $ft^2$) | 407,185 ($9^{th}$ largest) |
| Buildings | 62 ($7^{th}$ largest) |
| | |
| Largest Occupied Building (gross $ft^2$): Test Lab (Bldg #058) | 95,905 sf |
| | |
| Trailers, number of: | 110 |
| Real Property | 42 |
| Personal Property | 68 |
| | |
| Wooden Buildings | 8 |
| | |
| Excess Facilities: | N/A |
| Uncontaminated | N/A |
| Contaminated | N/A |
| Excess Building Space to be Removed in FY04 | N/A |
| | |
| Replacement Plant Value (RPV): Total | $192,705,846 |
| Programmatic (OSF 3000 category) | $91,868,762 |
| Non-Programmatic (used for calculating Indices) | $100,837,084 |
| | |
| Landlord Program | SC Nuclear Physics |
| | |
| Age of Buildings: Average | 13 years |
| % of space older than 40 years | 0 |
| % of space 30 years or younger | 76.1% |
| | |
| Maintenance Investment Index (MII) & Maintenance Funding | |
| FY 03 | 2.3% ($2,319) |
| FY 04 | 2.2% ($2,218) |
| FY 05 (minimum of 2% or agreement from 2004 On-Sites) | 2.2% ($2,218) |
| FY 06 (minimum of 2% or agreement from 2004 On-Sites) | 2.2% ($2,218) |
| FY 07 (minimum of 2% or agreement from 2004 On-Sites) | 2.2% ($2,218) |
| | |
| Deferred Maintenance (DM) Trend | |
| DM 2002 | $11,228,738 |
| DM 2003 | $12,555,919 |
| DM 2004 (estimate) | $12,555,919 |
| DM 2005 (estimate) | $12,555,919 |
| DM 2006 (estimate) | $12,555,919 |
| | |
| Total Summary Condition (DM + RIC) *: | $57,073,735 |

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| | |
|---|---|
| Deferred Maintenance (DM) | $12,555,919 |
| Rehab and Improvement Cost (RIC) | $44,517,816 |
| *Doesn't include personal property trailers | |
| Total Summary Condition Index (TSCI): (percent of Total RPV) * | 29.6% |
| Facility Condition Index (FCI) (based on DM) | 6.52% |
| Rehab & Improvement Cost Index (based on RIC) | 23.11% |
| | |
| ACI (Asset Condition Index from RPAM Order) (1-FCI) | .93 (adequate) |
| AUI (Asset Utilization Index from RPAM Order) | 1.0 (excellent) |
| | |
| Leased assets: | |
| Square footage: Total | 91,925 sf |
| Office | 71,106 sf |
| Other | 20,819 sf |
| Annual Lease Costs: | $595,533 |
| | |

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## Appendix 2 - Modernization

The TYSP should support the SC goal to modernize the infrastructure of its laboratories by 2015 in support of the missions of SC and the Department of Energy (DOE) in the 21st Century. The objectives of the modernization effort (or vision) are given below:

- **Mission:** The laboratory's facilities and infrastructure will be adequate to accommodate each laboratory's expected programmatic mission activities and technological changes well into the 21st century. Facilities will be "right-sized" to the type and quality of space and equipment needed to meet mission needs. Activities and organizations that need to be co-located will be. Facilities will be readily adaptable to changing research requirements and technologies. Off-site leased space will be reduced where economically appropriate.

- **Working Environment:** The laboratory will achieve a quality of facilities which provides a "preferred" working environment for our researchers that helps attract and retain high quality staff. The laboratory will employ the latest advances in information technology to enhance worker productivity, interactions with other scientists, and the advancement of science. Quality training and conferencing facilities will be available. Visiting scientists will have access to quality accommodations and to research support facilities.

- **Environment, Safety, Health and Security:** The laboratory's F&I will provide a safe, healthy, and secure working environment for laboratory employees and visitors. Retired facilities will be removed and environmental cleanup will be completed. The Laboratory will be viewed as a good community neighbor.

- **Operations and Maintenance:** F&I will be efficient to operate and maintain.

Each laboratory's TYSP will interpret these objectives as they apply to the laboratory site's F&I, and will identify the road map of activities and resources (including expected funding sources) needed to achieve them. In general, the TYSP will address existing and expected F&I deficiencies; correct site layout and development problems (including site cleanup, as appropriate); achievement of recognition of the laboratory as a preferred working environment; removal, replacement, and upgrade of nonfunctional buildings and general purpose equipment to modern standards; and anticipated mission needs.

### Considerations in Developing Plan and Costs for New Construction and Facilities Modifications

As new construction and facility modifications and improvements are developed to meet the vision and modernization objectives identified above, they also should incorporate the following:

- Flexibility - (e.g, interior design facilitates the dynamic changes in the scientific programs associated with the site);

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- Versatility - (e.g, interior space/layout is adaptable, with minimal modification and relocation, for new programs and personnel);

- Durability and Longevity - (e.g., construction materials and technology used will yield structures with a lifetime greater than 50 years without major renovation).

- Incorporate state-of-the-art sustainable design principles regarding selection of building materials and furnishings, construction techniques, energy and water conservation, habitability features, etc., where economically feasible.

- Ensure that the proposed investments yield what the laboratory considers to be a significant high rate of return (e.g., > than 10 percent) and help reduce operating and maintenance costs.

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## Appendix 3 - Process for Development of Plan

We expect that a rigorous process will be used to identify the activities and resources needed to accomplish the vision and to develop the road map of activities and resources needed. An example process is given below. Your Plan should briefly summarize the process you use for its development.

a. Integrate Organizational Goals into the Capital Decision Making Process.

- Conduct a comprehensive assessment of needs to meet results-oriented goals and objectives in DOE Program Plans, other strategic plans, and Institutional Plans.
- Identify current capabilities, including the use of an inventory of assets and their condition.
- Determine the gap between the capacity of current assets and needed capabilities.
- Decide how best to close the gap by identifying and evaluating alternative approaches, including non-capital approaches and third-party funding.

b. Evaluate and Select Capital Assets Using an Investment Approach

- Establish review and approval framework supported by analysis.
- Rank and select projects based on established criteria.
- Assess investments as a portfolio.
- Use an executive review committee (and decision-support software as appropriate) to make selections.
- Develop measurable goals and performance metrics.